

Texas Center for Superconductivity at the University of Houston (TcSUH) - H0452
Baseline Standards
FY 2017

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
2	Updating the Baseline Standards Form.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Bernadette Williams, Accountant 2	Elyse Davis, DBA
2	Reviewing cost center verifications.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
3	Approving cost center verifications.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
4	Ensuring all cost centers are verified/approved on a timely basis.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
2	Ensuring the validity of travel and expense reimbursements.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
3	Ensuring that goods and services are received and that timely payment is made.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
4	Ensuring correct account coding on purchases documents.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
5	Primary contact for inquiries to expenditure transactions.	Elyse Davis, DBA	Helen Espinoza, ABA
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Helen Espinoza, ABA	Elyse Davis, DBA
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Helen Espinoza, ABA	Elyse Davis, DBA
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Helen Espinoza, ABA	Elyse Davis, DBA
4	Completing termination clearance procedures.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Bernadette Williams, Accountant 2	Elyse Davis, DBA
6	Maintaining departmental Personnel files.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
7	Ensuring valid authorization of new hires.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
8	Ensuring valid authorization of changes in compensation rates.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
9	Ensuring the accurate input of changes to the HR System.	Helen Espinoza, ABA Ileana Perez, Financial Coord 1 Paul Scott, Financial Asst 2	Elyse Davis, DBA
10	Consistent and efficient responses to inquiries.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration

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CASH HANDLING			
1	Collecting cash, checks, etc.	Ileana Perez, Financial Coord 1	Paul Scott, Financial Asst 2
2	Reconciling cash, checks, etc. to receipts.	Bernadette Williams, Accountant 2	Elyse Davis, DBA
3	Preparing deposits.	Helen Espinoza, ABA	Elyse Davis, DBA
4	Preparing Journal Entries.	Helen Espinoza, ABA	Ileana Perez, Financial Coord 1
5	Verifying deposits posted correctly in the Finance System.	Bernadette Williams, Accountant 2	Elyse Davis, DBA
6	Adequacy of physical safeguards of cash receipts and equivalent.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
7	Secure deposits via UHDPS to Student Financial Services.	NA	NA
8	Ensuring deposits are made timely.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
10	Updating Cash Handling Procedures as needed.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
11	Distribution of Cash Handling Procedures to employees who handle cash.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
12	Consistent and efficient responses to inquiries.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
PETTY CASH			
1	Preparing petty cash disbursements.	NA	NA
2	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4	Approving petty cash disbursements.	NA	NA
5	Replenishing the petty cash fund timely.	NA	NA
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Helen Espinoza, ABA	Paul Scott, Financial Asst 2
2	Ensuring the annual inventory was completed correctly.	Helen Espinoza, ABA	Elyse Davis, DBA
3	Tagging equipment.	Helen Espinoza, ABA	Paul Scott, Financial Asst 2
4	Approving requests for removal of equipment from campus.	Helen Espinoza, ABA	Elyse Davis, DBA
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	Helen Espinoza, ABA	Elyse Davis, DBA
3	Collection.	Helen Espinoza, ABA	Elyse Davis, DBA
4	Recording.	Helen Espinoza, ABA	Elyse Davis, DBA
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	NA	NA
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
2	Ensuring that research expenditures are covered by funds from sponsors.	Elyse Davis, DBA	Don Waterman, Associate Director for Administration
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Brion Jacobs, Web Developer 3	Elyse Davis, DBA
2	Ensuring that critical data back up occurs.	Brion Jacobs, Web Developer 3	Elyse Davis, DBA
3	Ensuring that procedures such as password controls are followed.	Brion Jacobs, Web Developer 3	Elyse Davis, DBA
4	Reporting of suspected security violations.	Brion Jacobs, Web Developer 3	Elyse Davis, DBA